

# **Securities Report Forms and Instructions**

**These forms are intended for reporting any type of securities  
and security related cash.**

**Form UP-1S ..... Page 27-28**

**UP-2S ..... Page 29-30**

**UP-3S ..... Page 31-32**

# INSTRUCTIONS FOR FORM UP-1S SECURITIES AND SECURITIES RELATED CASH

- The form UP-1S must accompany all holder reports
- Transfer all securities to Merrill Lynch (see instructions for UP-3S)

## HOLDER INFORMATION:

This form is to report **SECURITIES AND SECURITIES RELATED CASH** only. Please type or print your report!

**ITEM 1-** Enter your federal employer identification number.

**ITEM 2-** Enter your business name and mailing address.

**ITEM 3-** If this report is being prepared by an agent on behalf of the business, enter the agent's name and address.

**ITEM 4-** Enter the name of the person completing the form.

**ITEM 5-** Enter the telephone number for the person completing the form.

**ITEM 6-** Enter the electronic mail address for the person completing the form.

**ITEM 7-** Enter the date your business was incorporated or registered.

**ITEM 8-** Enter the state where your business is registered or incorporated.

## REPORT INFORMATION:

**ITEM 9A-** Enter the total of properties listed on report (each line equals one property).

**ITEM 9B-** Enter total number of physical securities remitted with this report.

**ITEM 9C-** Enter total number of DTC shares included with this report.

**ITEM 9D-** Enter total of securities related cash remitted.

**ITEM 9E-** Enter total number of shares remitted 9B + 9C.

**ITEM 10A-** Enter total of properties listed on this report (each line equals one property).

**ITEM 10B-** Enter total number of DTC shares included with this report.

**ITEM 10C-** Enter total number of book shares/DRP shares listed on this report.

**ITEM 10D-** Enter total securities related cash remitted.

**ITEM 10E-** Enter total number of mutual funds remitted 10B + 10C.

## VERIFICATION:

The report must be certified by a CFO, partner or company officer.

**IF LESS THAN 25 PROPERTIES, GO TO OWNER REPORT FORM (UP-2S) TO PROVIDE A DETAILED LISTING OF THE UNCLAIMED ACCOUNTS. IF REPORTING 25 PROPERTIES OR MORE, USE NAUPA FORMATTED CD.**



# 2006 HOLDER REPORT SUMMARY FORM UP-1S SECURITIES AND SECURITIES RELATED CASH

**This form must accompany all holder reports**

**DID YOU ATTACH A CD? Y [ ] N [ ] ELECTRONIC FILERS:** Submit a UP-1S for each business included on the CD.

**Transfer all securities to Merrill Lynch (see instructions for UP-3S)**

HOLDER INFORMATION				
1. FEDERAL EMPLOYER ID#	2. HOLDER (Business Name)			
ADDRESS				
CITY, STATE, ZIP CODE				
3. IS THIS REPORT BEING PREPARED BY AN AGENT ON BEHALF OF THE HOLDER? Y [ ] N [ ] IF YES, FURNISH AGENT NAME AND ADDRESS:				
4. NAME OF CONTACT PERSON	5. TELEPHONE (     )	6. E-MAIL ADDRESS		
7. DATE OF INCORPORATION		8. STATE OF INCORPORATION		
REPORT INFORMATION				
<b>Delivery and registration of shares remitted (see instructions)</b>				
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p><b>STOCK</b></p> <p>9A. Total - properties reported _____</p> <p>9B. Total - physical shares _____</p> <p>9C. Total - DTC shares _____</p> <p>9D. Total - securities related - cash remitted _____</p> <p>9E. Total - stock remitted B+C _____</p> </div> <div style="width: 48%;"> <p><b>MUTUAL FUNDS</b></p> <p>10A. Total - properties reported _____</p> <p>10B. Total - DTC shares _____</p> <p>10C. Total - book shares/DRP _____</p> <p>10D. Total - securities related - cash remitted _____</p> <p>10E. Total - stock remitted B+C _____</p> </div> </div>				
<b>ENCLOSE CONFIRMATION OF DELIVERY OF SHARES AND MUTUAL FUND STATEMENTS</b>				
VERIFICATION STATEMENT				
<p>I, _____ certify that I have caused to be prepared and have examined this report totaling _____ shares and \$_____ as to property presumed abandoned under the "Disposition of Unclaimed Property Act" for the year ended as stated, that I am duly authorized to execute this verification by the holder and that I believe said report to be true, correct and complete as of said date to the best of my knowledge and belief.</p>				
_____ Signature of Responsible Officer		_____ Printed or Typed Name of Responsible Officer		
_____ Title of Responsible Officer		_____ Date		
FOR OFFICE USE ONLY				
CD?	CHECK NUMBER	CHECK DATE	CHECK AMOUNT	
DATE DEPOSITED	BATCH NO.	RECEIPT NO.	REPORT ID	HOLDER NO.
STOCK BATCH ID		STOCK RECEIPT ID		

# INSTRUCTIONS FOR FORM UP-2S SECURITIES

**The form UP-2S must accompany all holder reports.**

Form UP-2S is used to report all securities-related unclaimed property, as well as to report proceeds derived from the liquidation of such assets. The Unclaimed Property Program uses this information to verify rightful ownership of persons attempting to claim these accounts.

Specific security delivery instructions for transferring and liquidating securities are found on page 31. Should you have any questions, you may contact us at phone (404) 968-0490 or email [ucpmail@dor.ga.gov](mailto:ucpmail@dor.ga.gov).

- Type or print the report.
- Enter your business name and federal employer identification number (FEIN) on each page of your report.
- List owners alphabetically by name.

**Item 1** – Refer to the Property Codes list on page 3 and enter the code which best identifies the security reported.

**Item 2** – Enter the identifying account number assigned to the account by your business if applicable.

**Item 3** – Enter the owner's name and complete address as listed on your business records. If the account has more than one owner, indicate the relationship using the appropriate relationship code from the list on page 4.

**Item 4** – Enter the owner's social security number (SSN) or tax identification number as shown on your business records.

**Item 5** – Enter owner date of birth.

**Item 6** – Enter the date of last transaction or date of last contact with the owner.

**Item 7** – Enter the complete name of the stock or fund as shown by the issuing authority.

**Item 8** – Enter the stock CUSIP or mutual fund identification number.

**Item 9** – Enter the total number of whole shares remitted to include DRP shares. Liquidate out all fractional shares and report in column 9.

**Item 10** – Enter cumulative proceeds derived from the liquidation of any fractional or worthless shares.

**Item 11** – Enter total \$ amount of dividends.

**Item 12** – Enter total \$ amount of columns 10 and 11.

**Item 13** – Enter total number of shares per page.

**Item 14** – Enter the total \$ amount for the page.

**Item 15** – If last page, enter the grand total of shares for all pages.

**Item 16** – If last page, enter the grand total \$ amount for all pages. Make check payable to: Georgia Department Revenue, Unclaimed Property Program.

**Item 17** – Enter total number of properties being reported (this page).

**Item 18** – If last page, enter grand total of properties being reported.

**Complete a Securities Transfer Memo (UP-3S) for each report submitted.**



FEDERAL EMPLOYER ID#
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[illegible]

# INSTRUCTIONS FOR SECURITIES DTC TRANSFER CONFIRMATION FORM UP-3S

Please type or print your report!

This report must accompany your "UP-1S – Holder Report Summary Form" and holder report.

**ITEM 1 -** Enter your HOLDER-ID number as supplied by Georgia Unclaimed Property if known.

**ITEM 2 -** Enter the date that the report was prepared.

**ITEM 3 -** Enter the full stock issue name as shown by issuing authority.

**ITEM 4 -** Enter stock symbol.

**ITEM 5 -** Enter the CUSIP number for each issue.

**ITEM 6 -** Enter the total number of shares transferred to Georgia's Unclaimed Property Custodian – Merrill Lynch.

**ITEM 7 -** Enter date that the DTC transfer occurred.

**ITEM 8 -** Enter grand total of Item 6.

The report must be certified as accurate, as indicated by the signature of an officer of the institution.

Forward to:

**Georgia Department of Revenue  
Unclaimed Property Program  
4245 International Parkway, Suite A  
Hapeville, GA 30354-3918**

## REMITTING ABANDONED SECURITIES

1. Securities must be electronically transferred to Georgia's custodial account. Use the following information when making this transfer:

CUSTODIAN - Merrill Lynch, Fenner, Pierce & Smith  
DTC NUMBER - 5198  
GEORGIA'S ACCOUNT NUMBER - 70B-07F28

2. Use Form UP-3S to record confirmation of securities transfer.



# SECURITIES DTC TRANSFER CONFIRMATION FORM UP-3S

**This form must accompany all holder reports.**

Page \_\_\_\_\_ of \_\_\_\_\_

HOLDER NAME	ADDRESS	
		FEIN

GA HOLDER ID # (1)	HOLDER REPORT DATE (2)
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This form is used to notify the Georgia Unclaimed Property Program that all securities reported as unclaimed property have been transferred to the state's custodian, Merrill Lynch. New state reporting requirements mandate the transfer of all eligible shares using DTC. Specific instructions for completing this form and transferring the shares can be found in the accompanying "Instructions for Completion of Form UP-3S."

STOCK ISSUE NAME (3)	STOCK SYMBOL (4)	CUSIP # (5)	TOTAL SHARES TRANSFERRED (6)	DTC TRANSFER DATE (7)

GRAND TOTAL OF SHARES TRANSFERRED (8)

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I, the undersigned, certify that the securities listed above have been successfully transferred via DTC to Merrill Lynch, custodian for The State of Georgia on the date(s) indicated.

Signed \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

# Checklist for Unclaimed Securities and Securities Related Cash

Your report should consist of:

- ☐ Holder Report Summary Form (UP-1S).
- ☐ Detail Reporting Form (UP-2S) – if reporting less than 25 properties
- ☐ Read-only CD/NAUPA format if reporting 25 or more properties.
- ☐ Securities DTC Transfer Confirmation (UP-3S).
- ☐ Check for the total of all proceeds made payable to the Georgia Department of Revenue.
- ☐ All mutual funds, DRP, book entry, etc., statements. **If no statement is included, report will be considered incomplete and will not be processed.**

Forward your report package to:

**Georgia Department of Revenue  
Unclaimed Property Program  
4245 International Pkwy, Ste A  
Hapeville, GA 30354-3918**



## **ADDITIONAL INSTRUCTIONS AND INFORMATION**

### **REPORT CHECKLIST - Before filing your report, have you?**

- Sent owner notification letters to all owners with accounts \$ 50.00 or more?
- Signed Form UP-1S statement verification?
- Enclosed a check for the total amount due payable to GEORGIA DEPARTMENT OF REVENUE UNCLAIMED PROPERTY PROGRAM?
- Posted federal tax identification number on all pages of the report?
- Electronic filers: Clearly labeled CD and have a hard copy of Form UP-1S to send?
- Securities: Completed DTC Transfer Form UP-3S?

### **TO FILE AN EXTENSION**

- Reports are due by November 1, 2006. Extensions may be granted up to 90 days.
- Mail or fax a written request to the Unclaimed Property Program at least 30 days prior to the report due date.
- Provide an estimated filing date and the reason for the extension.

### **REMITTING ABANDONED SECURITIES**

- Securities must be electronically transferred to Georgia's custodial account. Use the following information when making this transfer:  
  
CUSTODIAN - Merrill Lynch, Fenner, Pierce & Smith  
DTC NUMBER - 5198  
GEORGIA'S ACCOUNT NUMBER - 70B-07F28
- All physical certificates must be submitted with the unclaimed property report by November 1. The certificates must be registered to the GEORGIA REVENUE COMMISSIONER.

### **NEED MORE HELP?**

Georgia's Unclaimed Property staff will be glad to answer any questions regarding unclaimed property. Please contact us at:

Georgia Department of Revenue  
Unclaimed Property Program  
4245 International Parkway, Suite A  
Hapeville, GA 30354-3918  
Telephone: (404) 968-0490  
Fax Line: (404) 968-0772  
Email: [ucpmail@dor.ga.gov](mailto:ucpmail@dor.ga.gov)